

**Statewide Information Management Manual  
(SIMM)  
Volume II, Guidelines  
Guideline 8.0**

# **FEASIBILITY STUDY REPORT REPORTING EXEMPTION REQUEST GUIDELINES**



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**FSR REPORTING EXEMPTION REQUEST GUIDELINES**

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## **Section 1:**

# **INTRODUCTION TO THE FSR REPORTING EXEMPTION REQUEST**

While there are many information technology activities that departments may initiate without Department of Information Technology (DOIT) approval of a Feasibility Study Report (FSR), certain of these activities must be approved by the DOIT prior to initiation. This approval process begins with submittal of an FSR Reporting Exemption Request.

The FSR Reporting Exemption Request process is intended to achieve the following purposes:

1. Allows the DOIT to determine the appropriate approval oversight authority for certain IT activities.
2. Allows the DOIT to identify the appropriate documentation requirements.
3. Saves the department from expending resources in analysis and development of project proposals that may, from a policy, technical or fiscal perspective, have minimal potential for support.
4. Enables the control agencies to focus on technology initiatives that will be most effective in supporting mission-critical State programs.
5. Helps ensure that proposed projects are consistent with the strategic direction of both the department and the State, as well as State information technology policies and standards.

If the planned activity meets any of DOIT's FSR reporting criteria outlined below, the department will normally be required to submit a Preliminary FSR and/or an FSR. However, the department may use the FSR Reporting Exemption Request process to request exemption from further FSR reporting to control agencies.

### **1.0 FSR REPORTING CRITERIA**

Departments may submit an FSR Reporting Exemption Request to the DOIT for those state IT projects that meet one or more of the FSR reporting criteria below:

1. The estimated total development and acquisition cost exceeds the departmental cost threshold.<sup>1</sup>
2. A new system development or acquisition that is specifically required by legislative mandate or is subject to special legislative review as specified in budget control language or other legislation.<sup>1</sup>

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<sup>1</sup> The DOIT will forward a copy of the FSR meeting these reporting criteria to the Department of Finance (DOF).

3. The project involves a budget action.<sup>1</sup>
4. Acquisition of any microcomputer commodities and the agency does not have an approved Workgroup Computing Policy (WCP).
5. Electronic access to private information concerning individuals or entities by entities other than the entity responsible for data ownership or other entities authorized by law.
6. The project will include the installation or expansion of wide area network data communication facilities or services other than those acquired through contracts administered by the Department of General Services, or a State consolidated data center as defined in SAM Section 4982.
7. The project will consist of the development, acquisition or installation of technologies not currently supported by the department or not currently supported by a State consolidated data center.
8. The project will consist of the development and/or purchase of systems to support activities as defined by the DOIT's Enterprise Systems Report.<sup>2</sup>
9. The project consists of an acquisition or upgrade of a multi-user central processing unit, except for previously approved projects as defined under SAM 4819.2, or servers being used only for departmental Office Automation functions.

## 2.0 COMPLETION GUIDELINES

The following are guidelines for completion of each item of information contained on the FSR Reporting Exemption Request. Departments are not limited to the space on the form and, therefore, may provide additional information as necessary. The DOIT may request additional information if needed to fully assess the planned information technology activity, its implications, and associated reporting requirements.

1. **Submittal Date:** Enter the date on which the FSR Reporting Exemption Request is submitted to DOIT.
2. **Submitting Department:** Enter the name of the State department, agency, office, board, commission, or institution that prepared the FSR Reporting Exemption Request and is responsible for the planned information technology activity.
3. **Reporting Agency:** Enter the name of the State Agency to which the department reports. If the department does not report through an Agency, enter the name of the governing board or constitutional officer responsible for the department.
4. **Project Title:** Enter the name of the planned activity as determined by the department.

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<sup>1</sup> The DOIT will forward a copy of the FSR meeting these reporting criteria to the Department of Finance (DOF).

<sup>2</sup> If it is determined that the business case or proposed solution is related to state financial accounting systems, the DOIT will forward a copy of the FSR to the DOF's CalStars unit.

5. **Check all reporting criteria that apply:** These include the following:
  - a) Estimated total development and acquisition cost exceeds the departmental cost threshold.
  - b) New system development or acquisition specifically required by legislative mandate or subject to special legislative review.
  - c) The project involves a budget action.
  - d) Acquisition of microcomputer commodities/no approved Work Group Computing Policy
  - e) Electronic access to private information by entities other than the owner or those legally authorized.
  - f) Installation or expansion of WAN facilities or services through other than DGS or data center.
  - g) Technology not currently supported by department or data center.
  - h) Enterprise strategy project.
  - i) Acquisition or upgrade of multi-user CPU, except for previously approved projects, or servers used only for Office Automation.
6. **Project Contact:** Enter the name, phone number, and e-mail address of the individual to be contacted if additional information or clarification is needed.
7. **Business Problem:** In business terms, briefly describe the problem or opportunity to be addressed by the planned activity.
8. **Project Objective:** Provide a brief statement of the primary objective of the activity in terms of the programmatic problem or opportunity to be addressed.
9. **General Description of Planned Project:** Provide a brief statement summarizing the planned activity.
10. **Estimated Cost:** Enter (a) the estimated one-time cost, and (b) the estimated annual continuing cost of the planned activity.
11. **Planned Funding Source:** Enter the anticipated source of funds for implementation of the proposed project concept; i.e., general fund. Indicate whether the project will be funded through redirection or augmentation; if an augmentation, indicate which fiscal year.
12. **Estimated Benefits:** Enter an estimate of the financial benefits, if any, the department expects to accrue as a result of this activity.
13. **Estimated Start Date:** Enter the estimated start date of the planned activity.
14. **Estimated Completion Date:** Enter the estimated completion date of the planned activity.

### 3.0 ILLUSTRATION: FSR REPORTING EXEMPTION REQUEST

<b>SUBMITTAL DATE</b>			
<b>SUBMITTING DEPARTMENT</b>			
<b>REPORTING AGENCY</b>			
<b>PROJECT TITLE</b>			
<b>Check all reporting criteria that apply:</b>			
<input type="checkbox"/> Estimated total development and acquisition costs exceed departmental cost threshold			
<input type="checkbox"/> System development or acquisition required by legislative mandate/special legislative review			
<input type="checkbox"/> Project involves a budget action.			
<input type="checkbox"/> Acquisition of microcomputer commodities/no approved Work Group Computing Policy			
<input type="checkbox"/> Electronic access to private information by entities other than the owner or authorized entities			
<input type="checkbox"/> Installation or expansion of WAN facilities or services through other than DGS or data center			
<input type="checkbox"/> Technology not currently supported by department or data center			
<input type="checkbox"/> Enterprise strategy project			
<input type="checkbox"/> Acquisition or upgrade of multi-user CPU, except previously approved projects or OA only			
	<b>Name</b>	<b>Phone #</b>	<b>E-mail Address</b>
<b>PROJECT CONTACT</b>			
<b>Business Problem</b>			
<b>Project Objective</b>			
<b>General Description of Planned Project</b>			
<b>Is the proposed project consistent with the Department's information technology strategy?</b>			
<b>Is the proposed project referenced in the Department's current AIMS?</b>		<b>Page #</b>	
	<b>One-time</b>	<b>Annual Continuing</b>	
<b>Estimated Cost</b>	\$	\$	
<b>Planned Funding Source</b>			
	<b>Redirection? Y / N</b>	<b>Augmentation? Y / N</b>	<b>FY:</b>
<b>Estimated Benefits</b>	\$		
<b>Estimated Start Date</b>			
<b>Estimated Completion Date</b>			